

COMMISSION ON TECHNOLOGY
Agenda Information/Action Item
Meeting Date: June 1, 2017

<i>Agenda Item:</i>	<i>Type of Action Requested:</i>
<u>DECISIONS</u> - Review, Discuss, Approve/Table/Reject	<input checked="" type="checkbox"/> Formal Action/Request <input type="checkbox"/> Information Only <input type="checkbox"/> Other

FROM:

Mr. Karl Heckart, AOC ITD Director, CIO

SUMMARY:

Given the financial situation described in the earlier operational/financial review, Karl Heckart will review the resource and cost implications of completing the current authorized projects. The project list becomes input for the Branch IT Strategic Plan this year as well as next year's IT planning template for county courts.

Members will apply the priorities and guidelines previously agreed upon and make funding recommendations to AJC on various proposed items or categories, including:

- Operation of current statewide systems
- Development already underway on all statewide systems/projects, previously approved, including JOLTSaz, CMS, and e-filing development & implementation activities
- Any new initiatives presented having Statewide impact

Members will also formally consider various proposals introduced at earlier points in the meeting including rewording a security standard, code section revisions, and ERR&D activities related to juvenile probationer records.

Since the approval of the minimum security standards for courts by AJC last June, a statute, A.R.S. § 12-821.01, has come to light that could affect the amount of time employee files need to be accessible following termination. The text of the statute and proposed wording change to Standard 2.14 were reviewed by Karl Heckart in the TAC update and are attached for reference.

COT staff has proposed revisions to two administrative code sections governing technology: ACJA § 1-501 related to court automation standards and ACJA § 1-506 related to filing and management of electronic court documents. Karl reviewed the specifics of the changes in the TAC update. A blackline printout of the proposed changes in each document is attached.

COT staff has been tracking automated electronic records destruction for case management systems following direction in AO 2014-117. In the process of executing their plan, Pima Superior Court discovered a discrepancy with juvenile records removed from the clerk's system but still maintained in juvenile probation files, having potential implications statewide. Karl will review the particulars of the issue and request direction related to exempting the records from ERR&D activities while policy decisions are made.

STAFF RECOMMENDATION:

Operating Budget and Ongoing Projects – Includes maintenance of network, applications, and technical support as well as improvements for shared services provided to courts. CACC and the steering committees continue to monitor the JOLTSaz, CMS, AZTurboCourt, eBench, eUniversa, and eAccess efforts underway. Operating budget now includes funding for enhancements to statewide automation.

Minimum Security Standards – In light of the wording in the statute, staff concurs with Maricopa's reasoning for 6 months post-termination retention of employee files. Staff worded the revision from input provided by Cybersecurity Subcommittee members, many of whom sit on COT. Since AJC approved the standards table last July, AJC will also need to approve the revision to Standard 2.14.

ACJA 1-501 and -506 Revisions – Changes in approach over time have made certain language in the code sections obsolete. Adding a description of the process of petitioning for a local exception to adoption of a state system conforms the language of 1-501 with the long-term practice of the Commission. Removing references in 1-506 to AZTurboCourt to enable a more generic e-filing portal used with the multi-vendor model is warranted. Members should recommend approval of the changes to AJC.

Extension of Time for ERR&D Activities – After discussions with Pima Juvenile Court, AOC Juvenile Justice Services, and April Juvenile Administrators' Meeting attendees, staff recommends a moratorium on destruction of juvenile case records in case management systems until June 30, 2018 to allow time for policy issues to be resolved. Staff feels strongly that a deadline must be established to ensure the records do not get retained forever by default, but acknowledges that more time could be requested based on the complexity of the issues surfaced.

ACTION OPTIONS:**FUND THE OPERATION OF EXISTING STATEWIDE SYSTEMS AND CONTINUED DEVELOPMENT OF PREVIOUSLY AUTHORIZED STATEWIDE PROJECTS, INCLUDING ONGOING ENHANCEMENTS TO STATEWIDE AUTOMATION:**

1. Approve the funding of existing operations and continued development of previously authorized statewide automation, as presented.
2. Approve the funding for existing operations and continued development of previously authorized statewide automation but in an amount other than requested, as documented.
3. Withhold approval for the funding of existing operations and ongoing statewide projects, not recommending further operation of existing statewide systems or continued development.
4. Table the consideration of funding of existing operations and continuation of current projects for later discussion.

MINIMUM SECURITY STANDARD REVISION RECOMMENDATION

1. Recommend the revision of Security Standard 2.14 to AJC, as presented.
2. Recommend the revision of Security Standard 2.14 to AJC for approval, with changes as documented.
3. Return the security standard rewrite to TAC for additional work prior to consideration at a future COT meeting.
4. Take no action regarding the minimum security standard wording at this time leaving the file retention period at 28 days following termination thereby continuing potential risk to court leadership when notice of claim is received between 29 days and 180 days.

ACJA 1-501 WORDING CHANGES, STATEWIDE COURT AUTOMATION

1. Recommend the wording changes to ACJA § 1-501 to AJC for approval.
2. Recommend the proposed changes to ACJA § 1-501 to AJC for approval, but with additional changes as documented.
3. Return the code section to staff for further revision and re-consideration at a later COT meeting.
4. Take no action, allowing the proposed changes to navigate the formal revision process for administrative code sections at AJC without a recommendation from COT.

ACJA 1-506 WORDING CHANGES, FILING AND MANAGEMENT OF ELECTRONIC COURT DOCUMENTS

1. Approve the wording changes to ACJA § 1-506 to AJC for approval.

- 2. Approve the wording changes to ACJA § 1-506 to AJC for approval, but with changes as documented.**
- 3. Return the code section to staff for further revision and re-consideration at a later COT meeting.**
- 4. Take no action, allowing the proposed changes to navigate the formal revision process for administrative code sections at AJC without a recommendation from COT.**

EXTENSION OF TIME FOR JUVENILE PROBATION ERR&D ACTIVITIES

- 1. Place a moratorium on destruction of juvenile case records in case management systems through June 30, 2018, to allow time for policy issues to be resolved.**
- 2. Place a moratorium on destruction of juvenile case records in case management systems, but specify a different period of time.**
- 3. Take no action, thereby enabling destruction of juvenile case records in case management systems to go forward on the current schedule.**